

## Financial Advice Provider

### Our Business details

**Collinson Wealth Partners Limited** is a Licensed Financial Advice Provider issued by the Financial Markets Authority (FMA) to provide financial advice services. Financial Service Provider Number is 743091.

### Our office contact details

Level 3, The AIG Building,  
41 Shortland Street, Auckland  
Telephone: 09 300 5237  
eMail: [wealth@collinsonwealth.com](mailto:wealth@collinsonwealth.com)  
Website: [www.collinsonco.com/wealth](http://www.collinsonco.com/wealth)

## Nature and Scope of Financial Advice Services

### Our Services

- Investment Strategies (strategic asset allocation and investing)
- Portfolio management
- Retirement planning
- KiwiSaver investment strategies

### Products we can advise on

- Managed Investment Funds
- Equities and Bonds
- KiwiSaver Investments

### Product providers we may recommend (list all of these)

- Recommendations made will be from the broadest range of product providers, listed and unlisted securities.

## Our Fees

### Investment Strategies and Portfolio Management

The fee charged to you will depend on the nature, scope and complexity of the advice or service we provide. We will discuss and agree the actual fees with you before we proceed and explain how and when they are payable. In any event the fees will be capped as per below table:

<b>Activity</b>	<b>Maximum Fee Payable</b>
<i>Portfolio Administration, Monitoring, Evaluation and Re-planning</i>	<i>2.00% per annum on first \$250,000</i>
	<i>1.00% per annum on the next \$500,000</i>
	<i>0.75% per annum on balance thereafter</i>

The fees charged for our advice and services are based on a percentage of the value of the investment portfolio. The amount of Fee and how it is calculated will be confirmed in our Statement of Advice which we will provide to you.

## **KiwiSaver Advice**

Collinson Wealth Partners do not charge fees for the KiwiSaver advice service.

Certain KiwiSaver product providers will pay a commission or advice fee to Collinson Wealth Partners calculated on a percentage of the value of your investment balance between 0.20% - 0.50% per annum.

In any event all commissions and/or fees will be fully disclosed and agreed prior to you proceeding with the advice.

## **Other costs**

Other costs may be incurred in the process of providing advice and services to you; these may include an Advice Planning fee and/or a Portfolio Implementation fee. These fees are charged on an hourly rate of \$200 per hour (excluding GST).

In any event we will agree all additional costs with you prior to incurring them.

## **Conflicts of Interest**

We work exclusively for our clients. There are no exceptions.

Collinson Wealth Partners has no agreement with any party to provide or maintain minimum levels of business or activity.

Your interests are our priority although we do have business relationships with KiwiSaver product providers. We will receive remuneration from these product providers such as commissions or advice fees however these will be disclosed prior to acceptance of advice.

The advice we provide is based on an understanding of your goals and circumstances and providing recommendations which are based on research, analysis, and experience.

We manage these conflicts of interest by ensuring that we prioritise your interests above our own and have policies that manage any potential or direct conflicts as they may arise.

In instances where we refer our clients to other professional service providers (accountants, lawyers etc.) this is done so on an arm's length basis.

Collinson Wealth Partners maintains an Interests Register and a Gifts Register. All registers are reviewed quarterly and signed off by the Chief Compliance Officer of Collinson & Co

## **Our Duties and Obligations to You**

We are required to:

- Meet the standards of competence, knowledge and skill set out in the Code of Conduct
- Give priority to the clients' interest and
- Exercise care, diligence, and skill, and
- Meet the standards of ethical behaviour, conduct and client care set out in the Code of Conduct

This is only a brief summary of the duties and obligations required of us. Further information is available either directly from the Financial Markets Authority website at <https://www.fma.govt.nz>, or by contacting us directly.

## **Complaints Procedures**

### **Our Internal complaints process**

If you have a problem, concern, or complaint about any part of our advice or service, please tell us so that we can try to fix the problem.

You may contact the Collinson Wealth Partners internal complaints scheme by contacting

Hugh Going, Director, Collinson Wealth Partners

P.O. Box 5068, Victoria St West, Auckland 1142

Telephone: [09] 300 5237

eMail: [hugh.going@collinsonwealth.com](mailto:hugh.going@collinsonwealth.com)

## Our external complaints process

If we cannot agree on how to fix the issue, or if you decide not to use the internal complaints scheme, you can contact the Insurance & Financial Services Ombudsman [IFSO]. Their dispute resolution scheme, the "Insurance & Financial Services Ombudsman Scheme Inc." is a service that will cost you nothing and will help us resolve any disagreements.

You can contact IFSO at;

Address: PO Box 10 845, Wellington 6143

Telephone: 0800 888 202

eMail: [info@ifso.co.nz](mailto:info@ifso.co.nz)

## Privacy and Data Collection

To provide our clients the best advice and service, we need to collect their personal information. This information could include personal and financial details, and any correspondence.

## Our responsibilities

We take our responsibilities under the Privacy Act 2020 seriously, and so

- We only collect information relevant to the nature and scope of the advice we are providing
- Once collected, we will take every reasonable action to protect any personal information you give us
- You have the right to view any copies of personal information we hold about you, or ask for it to be amended, at any time
- We have policies and procedures for dealing promptly with any data breaches
- Any information no longer needed will be held securely for a minimum of 7 years then destroyed securely

## Sharing of information

When necessary, we will share some of your personal information in providing the agreed services. We will do everything we reasonably can to protect your data from unauthorised use by any third party we use. This includes ensuring the third party has their own privacy statement and policies to comply with relevant legislation.

We would only consider sharing information outside of our normal business **with your express consent** to do so. However, there are some third parties you may not be aware of that we may need to share your information with, such as:

- Financial Markets Authority (FMA), the regulator of financial services in New Zealand
- External compliance agencies we may engage for quality assurance purposes

## About Hugh Going

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Hugh Going is your Financial Adviser and he is providing the advice on behalf of Collinson Wealth Partners Ltd who is the Financial Advice Provider Licence holder [FSP 743091].

### Contact

**Telephone:** [09] 300 5237

**eMail:** hugh.going@collinsonwealth.com

**FSPR:** 96104

### Qualifications

- New Zealand Certificate in Financial Services Level 5

### Experience

I have been providing financial advice on a wide range of products and services to my clients since 2004.

Prior to that I held senior treasury roles within a large New Zealand based corporate. This role required the active management of a full range of operational and financial risks, which included foreign exchange, debt management and interest rate risk management.

Prior to entering corporate treasury roles, I worked in banking - both in New Zealand and the United Kingdom - for around 10 years.

### Professional memberships

- FANZ - Financial Advice New Zealand
- INFINZ - Institute of Finance Professionals NZ

### Duties and Obligations

I am bound by the duties of the Financial Markets Conduct Act to:

- meet the standards of competence, knowledge and skill set out in the Code of Conduct
- give priority to the clients' interest and
- exercise care, diligence and skill, and
- meet the standards of ethical behaviour, conduct and client care set out in the Code of Conduct

## About Nathan Jolly

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Nathan Jolly is your Financial Adviser and he is providing the advice on behalf of Collinson Wealth Partners Ltd who is the Financial Advice Provider Licence holder [FSP 743091].

### Contact

**Telephone:** [09] 869 3572

**eMail:** nathan.jolly@collinsonwealth.com

**FSPR:** 312866

### Qualifications

- New Zealand Certificate in Financial Services Level 5
- NZX Diploma
- Bachelor of Science, Auckland University

### Experience

I have been providing financial advice on a wide range of products and services for my clients since 2008.

I have worked for a range of financial service providers across Banking, Funds Management, and Investment Advisory, offering advice on different types of Investments, investment portfolios and Retirement Planning.

### Professional memberships

FANZ - Financial Advice New Zealand

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